

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown David W

Attorney Docket No: 2447.001US2

Sheet 1 of 16

US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Filing Date If Appropriate
Q	US-20010035720A1, identified in Patent Interference No. 105,393 as Espiau Exhibit 1087.	11/01/2001	Guthrie, C. , et al.	03/26/2001
↑	US-20020001056A1, identified in Patent Interference No. 105,393 as Guthrie Exhibit 2126.	01/03/2002	Sandberg, E. , et al.	04/03/2001
	US-20020001135A1, identified in Patent Interference No. 105,393 as Espiau Exhibit 1093.	01/03/2002	Berman, A. L., et al.	03/26/2001
	US-4,795,658	01/03/1989	Kano, O. , et al.	02/25/1987
	US-4,908,492, identified in Patent Interference No. 105,393 as Espiau Exhibit 1070.	03/13/1990	Okamoto, Y. , et al.	05/05/1989
	US-5,313,373, identified in Patent Interference No. 105,393 as Guthrie Exhibit 2099.	05/17/1994	Bjorner, J. A., et al.	11/25/1992
	US-5,910,754, identified in Patent Interference No. 105,393 as Guthrie Exhibit 2098.	06/08/1999	Simpson, G. R., et al.	05/02/1997
↓	US-6,016,766, identified in Patent Interference No. 105,393 as Guthrie Exhibit 2101.	01/25/2000	Pirkle, D. R., et al.	12/29/1997
b	US-6,020,800, identified in Patent Interference No. 105,393 as Guthrie Exhibit 2086.	02/01/2000	Shigeji, A. , et al.	06/09/1997

EXAMINER

David W

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional) : Applicant is to place a check mark here if English language Translation is attached

BEST AVAILABLE COPY

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Complete if Known

Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 2 of 16

Attorney Docket No: 2447.001US2

US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Filing Date If Appropriate
U	US-6,049,170, identified in Patent Interference No. 105,393 as Espiau Exhibit 1011.	04/11/2000	Hochi, A. , et al.	10/30/1997
↑	US-6,196,297, identified in Patent Interference No. 105,393 as Guthrie Exhibit 2100.	03/06/2001	Campbell, B. J., et al.	05/21/1999
	US-6,291,936	09/18/2001	MacLennan, D. A., et al.	11/25/1998
	US-6,310,443, identified in Patent Interference No. 105,393 as Espiau Exhibit 1041.	10/30/2001	MacLennan, D. A., et al.	07/14/2000
	US-6,476,557	11/05/2002	Leng, Y. , et al.	11/12/1999
	US-6,566,817, identified in Patent Interference No. 105,393 as Espiau Exhibit 1098	05/20/2003	Lapatovich, W. P.	09/24/2001
	US-6,617,806, identified in Patent Interference No. 105,393 as Espiau Exhibit 1009.	09/09/2003	Kirkpatrick, D. A., et al.	02/06/2001
	US-6,922,021, identified in Patent Interference No. 105,393 as Guthrie Exhibit 2091.	07/26/2005	Espiau, F. M., et al.	01/31/2003
↓ D	US-6,962,426, identified in Patent Interference No. 105,393 as Espiau Exhibit 1095	11/08/2005	Slobodin, D. E.	11/29/2001

EXAMINER

David vu

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)	Complete if Known	
	Application Number	10/771,788
	Filing Date	February 4, 2004
	First Named Inventor	Espiau, Frederick
	Group Art Unit	2821
	Examiner Name	Unknown
Sheet 3 of 16	Attorney Docket No: 2447.001US2	

FOREIGN PATENT DOCUMENTS				
Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	T ²
D	JP-8-148127, identified in Patent Interference No. 105,393 as Espiau Exhibit 1074.	06/07/1996	Hochi, A. , et al.	
W	JP-8148127, identified in Patent Interference No. 105,393 as Espiau Exhibit 1075.	06/07/1996	Hochi, A. , et al.	
D	WO-0211181A1, identified in Patent Interference No. 105,393 as Guthrie Exhibit 2056.	02/07/2002	Espiau, F. M., et al.	
D	WO-9936940A2, identified in Patent Interference No. 105,393 as Guthrie Exhibit 2084.	07/22/1999	MacLennan, D. A., et al.	

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T ¹
D		"Coating Definition", from www.answers.com", <u>Espiau Exhibit 1019, in Board of Patent Appeals and Interferences (Interference No. 105,393), (March 31, 2006), 5 pgs.</u>		
↑		"Coating" Definition from online dictionary, www.thefreedictionary.com/coating", <u>Espiau Exhibit 1020, in Board of Patent Appeals and Interferences (Interference No. 105,393), (March 21, 2006), 4 pgs.</u>		
		"Coating" Definition from www.WordReference.com", <u>Espiau Exhibit 1021, in Board of Patent Appeals and Interferences (Interference No. 105,393), (March 21, 2006), 2 pgs.</u>		
		"Chapter 4 - Cavity Resonators, Department of the Army Technical Manual, TM 11-673 - Generation and Transmission of Microwave Energy", <u>Guthrie Exhibit 2104, Board of Patent Appeals and Interferences (Interference No. 105,393), (June, 1953), 12 pgs.</u>		
↓		"Definition of 'Waveguide'", <u>Webster's II New College Dictionary (3rd Edition), Guthrie Exhibit 2047, Board of Patent Appeals and Interferences (Interference No. 105,393), 2 pgs.</u>		
D		"Diligence Calendar", <u>Guthrie Exhibit 2044, Board of Patent Appeals and Interferences (Interference No. 105,393), (July, 2000 and August, 2000), 1 pg.</u>		

EXAMINER

David W

DATE CONSIDERED

3/6/07

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A(10-01)
Approved for use through 10/31/2002. OMB 851-0031
US Patent & Trademark Office: U.S. DEPARTMENT OF COMMERCE

Complete if Known

Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 4 of 16

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T*
2		"File History of US 6,566,817, for HIGH INTENSITY DISCHARGE LAMP WITH ONLY ONE ELECTRODE, filed September 24, 2001 by Lapatovich, et al.", <u>Espiau Exhibit 1097, Board of Patent Appeals and Interferences (Interference No. 105,393), 94 pgs.</u>	
↑		"File History of US 6,922,021 for a "Microwave Energized Plasma Lamp With Solid Dielectric Waveguide, filed by July 26, 2005 by Espiau, et al.", <u>Guthrie Exhibit 2078, Board of Patent Appeals and Interferences (Interference No. 105,393), 468 pgs.</u>	
↑		"File History of US 6,962,246 for RECIRCULATION OF REFLECTED SOURCE LIGHT IN AN IMAGE PROJECTION SYSTEM, filed November 29, 2001 by Slobodin", <u>Espiau Exhibit 1096, Board of Patent Appeals and Interferences (Interference No. 105,393), 116 pgs.</u>	
↑		"Fusion Lighting's Website / Lamps for Special Applications", <u>http://www.web.archive.org/web/20010602134016/fusionlighting.com/special.htm</u> , <u>Guthrie Exhibit 2125, Board of Patent Appeals and Interferences (Interference No. 105,393), (archived June 2, 2001), 2 pgs.</u>	
↑		"Google "Coating" Definition Search Results", <u>Espiau Exhibit 1018, in Board of Patent Appeals and Interferences (Interference No. 105,393), (March 31, 2006), 2 pgs.</u>	
↑		"Handout for Experiment 1: "Cavity Resonator", Electrical Engineering Department School of Engineering and Applied Science, University of California, Los Angeles", <u>Espiau Exhibit 1026, in Board of Patent Appeals and Interferences (Interference No. 105,393), (Winter, 1995), 5 pgs.</u>	
↑		"Handout for Experiment 3: Cavity Resonator", Electrical Engineering Department, School of Engineering and Applied Science, University of California, Los Angeles", <u>Espiau Exhibit 1025, in Board of Patent Appeals and Interferences (Interference No. 1025), (Winter, 1991), 15 pgs.</u>	
↑		"Luxim Corporation Consulting Agreement", <u>Espiau Exhibit 1090, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 12, 2006), 6 pgs.</u>	
↑		"Luxim Corporation's Website", <u>Guthrie Exhibit 2114, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 11, 2006), 50 pgs.</u>	
↑		"Luxim Corporation, "Microwave Energized Plasma Lamps"; MiPL: Product Development Plan", <u>Guthrie Exhibit 2009, Board of Appeals and Interferences (Interference No. 105,393), (August, 2002), 14 pgs.</u>	
↑		"Other Disclosure Materials - File: "An External Heat Sink", <u>Guthrie Exhibit 2025, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 28, 2000), 3 pgs.</u>	
2		"Other Disclosure Materials - File: Light Source 2.1", <u>Guthrie Exhibit 2021, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 8, 2000), 4 pgs.</u>	

EXAMINER

David ✓

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. * Applicant's unique citation designation number (optional): * Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO
**INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**
 (Use as many sheets as necessary)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A(10-01)
 Approved for use through 10/31/2002. OMB 651-0031
 US Patent & Trademark Office, U.S. DEPARTMENT OF COMMERCE

Complete if Known	
Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 5 of 16

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
D		"Other Disclosure Materials - File: Light Source 2.11", <u>Guthrie Exhibit 2026, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 28, 2000), 2 pgs.</u>	
↑		"Other Disclosure Materials - File: Light Source 2.2A", <u>Guthrie Exhibit 2022, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 27, 2000), 4 pgs.</u>	
		"Other Disclosure Materials - File: Light Source 2.6", <u>Guthrie Exhibit 2023, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 8, 2000), 2 pgs.</u>	
		"Other Disclosure Materials - File: Light Source 2.9", <u>Guthrie Exhibit 2024, Board of Patent Appeals and Interferences (Interference No. 2024), (July 27, 2000), 3 pgs.</u>	
		"Photograph of Gas-Filled Quartz Bulbs", <u>Guthrie Exhibit 2042, Board of Patent Appeals and Interferences (Interference No. 105,393), 1 pg.</u>	
		"Photographs of Full Wavelength Waveguide", <u>Guthrie Exhibit 2040, Board of Patent Appeals and Interferences (Interference No. 105,393), 1 pg.</u>	
		"Photographs of Half Wavelength Ceramic Waveguide", <u>Guthrie Exhibit 2041, Board of Patent Appeals and Interferences (Interference No. 105,393), 1 pg.</u>	
		"Picture of Lamp Fixture", <u>Guthrie Exhibit 2036, Board of Patent Appeals and Interferences (Interference No. 105,393), 1 pg.</u>	
		"Presentation Materials - Wave Guide Material", <u>Guthrie Exhibit 2067, Board of Patent Appeals and Interferences (Interference No. 105,393), 7 pgs.</u>	
		"Priority-Claimed Disclosure Materials - File: Light Source 2.13", <u>Guthrie Exhibit 2020, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 3, 2000), 2 pgs.</u>	
		"Priority-Claimed Disclosure Materials - File: Light Source 2.2", <u>Guthrie Exhibit 2014, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 27, 2000), 3 pgs.</u>	
		"Priority-Claimed Disclosure Materials - File: Light Source 2.3", <u>Guthrie Exhibit 2015, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 19, 2000), 4 pgs.</u>	
		"Priority-Claimed Disclosure Materials - File: Light Source 2.7", <u>Guthrie Exhibit 2018, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 27, 2000), 4 pgs.</u>	
		"Priority-Claimed Disclosure Materials - File: Light Source 2.4", <u>Guthrie Exhibit 2016, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 8, 2000), 4 pgs.</u>	
↓		"Priority-Claimed Disclosure Materials - File: Light Source 2.5", <u>Guthrie Exhibit 2017, Board of Patent Appeals and Interferences (Interference No. 105,392), (July 28, 2000), 4 pgs.</u>	

EXAMINER

David un

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)
 * EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. * Applicant's unique citation designation number (optional) : Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/S&CSA(10-01)
Approved for use through 10/31/2002. OMB 031-0031
US Patent & Trademark Office: U.S. DEPARTMENT OF COMMERCE

Complete if Known

Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 6 of 16

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T*
R		"Priority-Claimed Disclosure Materials - File: Light Source 2.8", <u>Guthrie Exhibit 2019, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 26, 2000), 5 pgs.</u>	
↑		"Synonyms for the Word 'Direct', from Thesaurus.com", <u>Guthrie Exhibit 2110, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 18, 2006), 1 pg.</u>	
		"Turner Engineering Company; 'Conceptual Design:' Final PowerPoint Presentation", <u>Guthrie Exhibit 2070, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 22, 2000), 30 pgs.</u>	
		"Turner Engineering Corporation's Website", <u>Guthrie Exhibit 2113, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 13, 2006), 25 pgs.</u>	
		BERGAN, D. A., "E-Mail to N. Pisano With Espiau's Objections to Guthrie's Reply Exhibits (Exhibits 2123, 2124, 2125 and 2126)", <u>Espiau Exhibit 1103, Board of Patent Appeals and Interferences (Interference No. 105,393), (September 8, 2006), 5 pgs.</u>	
		BERMAN, A., "Declaration", <u>Guthrie Exhibit 2071, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 20, 2006), 6 pgs.</u>	
		BLEANEY, B. J., et al., "Electricity and Magnetism, Second Edition, 1965, Oxford at the Clarendon Press", <u>Guthrie Exhibit 2108, Board of Patent Appeals and Interferences (Interference No. 105,393), (1965), 8 pgs.</u>	
		CATLETT, F. W., "Deposition Transcript", <u>Guthrie Exhibit 2007, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 1, 2005), 181 pgs.</u>	
		CHANG, Y., et al., "PLASMA LAMP, U.S. Provisional Application Ser. No. 60/222,028, filed July 31, 2000", <u>Espiau Exhibit 1012, in Board of Patent Appeals and Interferences (Interference No. 105,393), (July 31, 2000), 28 pgs.</u>	
		ESPIAU, F. M., et al., "File History, PLASMA LAMP WITH DIELECTRIC WAVEGUIDE (Ser. No. 09/809,718, filed March 15, 2001)", <u>Espiau Exhibit 1013, in Board of Patent Appeals and Interferences (Interference No. 105,393), (March 15, 2001), 46 pgs.</u>	
		EVERETT, S., "Declaration", <u>Guthrie Exhibit 2075, Board of Patent Appeals and Interferences (Interference No. 105,393), (March 13, 2006), 3 pgs.</u>	
↓		GHANDI, O. P., "Microwave Engineering and Applications, Pergamon Press, Inc.", <u>Guthrie Exhibit 2119, Board of Patent Appeals and Interferences (Interference No. 105,393), (1981), 6 pgs.</u>	
R		GRAY, E., "Reply to Office Action of November 3, 2002, in PLASMA LAMP WITH DIELECTRIC WAVEGUIDE, U.S. Patent Application Ser. No. 09/809,718, filed March 11, 2001", <u>Guthrie Exhibit 2088, Board of Patent Appeals and Interferences (Interference No. 105,393), (March 6, 2003), 76 pgs.</u>	

EXAMINER

David vn

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional): Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO
**INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**
 (Use as many sheets as necessary)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/08A(10-01)
 Approved for use through 10/31/2002. OMB 851-0031
 US Patent & Trademark Office, U.S. DEPARTMENT OF COMMERCE

Complete if Known	
Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 7 of 16

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-Issue number(s), publisher, city and/or country where published.	T ²
D		GRAY, E. , "Reply to Office Communication for PLASMA LAMP WITH DIELECTRIC WAVEGUIDE, U.S. Patent Application Ser. No. 09/809,718 (Espiau)", Guthrie Exhibit 2097, Patent Appeals and Interferences (Interference No. 105,393), (September 27, 2003), 66 pgs.	
↑		GUPTA, M. S., "Corrected Third Declaration", Guthrie Exhibit 2121, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 1, 2006), 34 pgs.	
		GUPTA, M. S., "Curriculum Vitae", Guthrie Exhibit 2090, Board of Patent Appeals and Interferences (Interference No. 105,393), 36 pgs.	
		GUPTA, M. S., "Declaration", Guthrie Exhibit 2089, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 1, 2006), 28 pgs.	
		GUPTA, M. S., "Deposition Transcript", Guthrie Exhibit 2122, Board of Patent Appeals and Interferences, (Interference No. 105,393), (August 16, 2006), 71 pgs.	
		GUPTA, M. , "Deposition Transcript", Guthrie Exhibit 2117, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 22, 2006), 48 pgs.	
		GUPTA, M. S., "Espiau Errata to the Transcript of the August 16, 2006 Deposition of Madhu S. Gupta, Ph.D.", Espiau Exhibit 1089, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 16, 2006), 2 pgs.	
		GUPTA, M. S., "Fourth Declaration of Madhu S. Gupta, Ph.D.", Guthrie Exhibit 2124, Board of Patent Appeals and Interferences (Interference No. 105,393), (September 5, 2006), 17 pgs.	
		GUPTA, M. S., "Second Declaration", Guthrie Exhibit 2105, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 22, 2006), 24 pgs.	
		GUPTA, M. S., "Transcription of Deposition of Madhu S. Gupta, Ph.D. (Vol. III)", Guthrie Exhibit 2132, Board of Patent Appeals and Interferences (Interference No. 105,393), (October 3, 2006), 106 pgs.	
		GUTHRIE, C. , "'Correction Documentation' to Light Source Files 2.1 - 2.13", Guthrie Exhibit 2032, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 3, 2000), 2 pgs.	
		GUTHRIE, C. , et al., "A CORREGATED WAVE-GUIDE USED FOR THE EXCITATION OF AN ELECTRODE-LESS METAL HALIDE PLASMA LAMP INCORPORATING A SOLID DIELECTRIC MATERIAL", US Provisional Application Ser. No. 60/224,060, filed August 9, 2000 (Guthrie Exhibit 2028, Board of Patent Appeals and Interferences (Interference No. 105,393)), 9 pgs.	
↓		GUTHRIE, C. , et al., "A METHOD FOR CONNECTING THE ANTENNA ON A PRINTED WIRING BOARD TO A WAVE-GUIDE IN A LIGHT SOURCE IN WHICH AN ELECTRODE-LESS LAMP IS BUILT INTO THE WAVE-GUIDE STRUCTURE", US Provisional Patent Application Ser. No. 60/224,061, filed August 9, 2000 (Guthrie Exhibit 2027, Board of Patent Appeals and Interferences (Interference No. 105,393)), 9 pgs.	

EXAMINER

David M

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional) * Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)	Complete if Known	
	Application Number	10/771,788
	Filing Date	February 4, 2004
	First Named Inventor	Espiau, Frederick
	Group Art Unit	2821
	Examiner Name	Unknown
Sheet 8 of 16		Attorney Docket No: 2447.001US2

OTHER DOCUMENTS – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
W		GUTHRIE, C., "Ceramic Test Sample; SPL002 Engineering Drawing", <u>Guthrie Exhibit 2061, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 27, 2000), 1 pg.</u>	
↑		GUTHRIE, C., "Concept 3 With Heat Sink; WGC003 Engineering Drawing", <u>Guthrie Exhibit 2064, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 16, 2000), 1 pg.</u>	
		GUTHRIE, C., et al., "Declaration", <u>Guthrie Exhibit 2006, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 20, 2006), 14 pgs.</u>	
		GUTHRIE, C., "Half Wavelength Waveguide Drawing (CTS010)", <u>Guthrie Exhibit 2048, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 20, 2000), 1 pg.</u>	
		GUTHRIE, C., "Lamp With Integrated Waveguide Version I; LWG001 Engineering Drawing", <u>Guthrie Exhibit 2060, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 27, 2000), 1 pg.</u>	
		GUTHRIE, C., "SPL020: Engineering Drawing", <u>Guthrie Exhibit 2043, Board of Patent Appeals and Interferences (Interference No. 105,393), (November 3, 2000), 2 pgs.</u>	
		GUTHRIE, C., "Waveguide Lamp Concept 3; WG003 Engineering Drawing", <u>Guthrie Exhibit 2062, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 10, 2000), 1 pg.</u>	
		GUTHRIE, C., "Waveguide Lamp Concept 3; WGC003 Engineering Drawing - Waveguide Package", <u>Guthrie Exhibit 2063, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 10, 2000), 1 pg.</u>	
		HOOVER, E., "Declaration", <u>Guthrie Exhibit 2011, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 17, 2006), 5 pgs.</u>	
		JOHNSON, A., "E-Mail Message to D. Bergan with Espiau's Objections to Guthrie's Opposition Motion Exhibits (Exhibits 2119 and 2120)", <u>Espiau Exhibit 1102, Board of Patent Appeals and Interferences (Interference No. 105,393), (October 16, 2006), 7 pgs.</u>	
		JOSHI, C. J., "Declaration", <u>Espiau Exhibit 1051, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 22, 2006), 3 pgs.</u>	
		JOSHI, C. J., "Deposition Transcript", <u>Espiau Exhibit 1068, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 7, 2006), 50 pgs.</u>	
		JOSHI, C. J., "Handwritten 'Integrated Lamp-Waveguide Concept', with attached note", <u>Espiau Exhibit 1031, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 11, 2000), 13 pgs.</u>	
✓ W		JOSHI, C. J., "Notebook Entries", <u>Espiau Exhibit 1029, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 12, 2000 through April 20, 2000), 16 pgs.</u>	

EXAMINER

David W

DATE CONSIDERED

3/6/07

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 9 of 16

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ¹
J		JOSHI, C. J., "Provisional Draft "Integrated Lamp Waveguide Concept", attached to E-Mail from Simon, N.", <u>Espiau Exhibit 1032, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 11, 2000), 13 pgs.</u>	
↑		KIPLING, K., et al., "High Brightness Electrodeless Lamp for Projection Display, Society for Information Display", <u>Espiau Exhibit 1079, Board of Patent Appeals and Interferences (Interference No. 105,393), (May, 1999), 4 pgs.</u>	
		KIRKPATRICK, D. A., "Aperture Lamps", <u>Proceedings, 9th International Symposium on Science & Technology of Light Sources, Espiau Exhibit 1082, Board of Patent Appeals and Interferences (Interference No. 105,393), (August, 2001), 10 pgs.</u>	
		LEE, B. T., "Final Office Action, for Application No. 09/818,092, filed March 26, 2001", <u>Espiau Exhibit 1048, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 2, 2004), 6 pgs.</u>	
		LEE, B. T., "Office Action for U.S. Patent Application No. 09/818,092, filed March 26, 2001", <u>Guthrie Exhibit 2002, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 27, 2004), 6 pgs.</u>	
		LOHSE, T., "Declaration", <u>Guthrie Exhibit 2013, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 20, 2006), 3 pgs.</u>	
		MANCUSO, M. J., "Petition to Accept Unintentionally Delayed Claim for Priority Under 35 U.S.C. 119(e) for the Benefit of Prior Filed Provisional Applications", <u>Guthrie Exhibit 2092, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 27, 2006), 6 pgs.</u>	
		MITCHESON, T., et al., "Statement of Case, Ceravision Filing in UK Entitlement", <u>Guthrie Exhibit 2037, Board of Patent Appeals and Interferences (Interference No. 105,393), 52 pgs.</u>	
		MORGAN, R. C., "Espiau Opposition 1", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (July 18, 2006), 51 pgs.</u>	
		MORGAN, R. C., "Espiau Opposition 2", <u>Board of Appeals and Patent Interferences (Interference No. 105,393), (July 18, 2006), 50 pgs.</u>	
		MORGAN, R. C., "Espiau Opposition 3", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (July 18, 2006), 45 pgs.</u>	
		MORGAN, R. C., "Espiau Opposition 4", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (July 18, 2006), 97 pgs.</u>	
		MORGAN, R. C., "Espiau Reply 2 Re: Espiau's Motion 2", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (September 5, 2006), 101 pgs.</u>	
		MORGAN, R. C., "Espiau Reply 4", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (September 5, 2005), 95 pgs.</u>	
↓		MORGAN, R., "Espiau Reply on Motion 3", <u>Board of Patent Appeals and Interferences (No. 105,393), (September 5, 2006), 83 pgs.</u>	

EXAMINER

David M

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO
**INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**
 (Use as many sheets as necessary)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A(10-01)
 Approved for use through 10/31/2002. OMB 651-0021
 US Patent & Trademark Office: U.S. DEPARTMENT OF COMMERCE

<i>Complete if Known</i>	
Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 10 of 16

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-Issue number(s), publisher, city and/or country where published.	T ²
u		MORGAN, M. , "Order Approving Trustee's Sale of Debtor's Assets to Wilson/Guthrie (United States Bankruptcy Court - Northern District of California)", <u>Espiau Exhibit 1086, Board of Patent Appeals and Interferences (Interference No. 105,393), (March 10, 2004), 29 pgs.</u>	
↑		NEATE, A. , "Declaration", <u>Guthrie Exhibit 2057, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 21, 2006), 4 pgs.</u>	
		NEATE, A. , "DRI Dielectric Waveguide Analysis Results Engineering Report", <u>Guthrie Exhibit 2058, Board of Patent Appeals and Interferences (Interference No. 105,393), 5 pgs.</u>	
		NEIFELD, R. , "E-Mail Message to T. Kearney, et al. With Espiau's Objections to Guthrie's Preliminary Motion Exhibits", <u>Espiau Exhibit 1100, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 9, 2006), 7 pgs.</u>	
		NEIFELD, R. , "E-Mail to T. Kearney, et al. With Espiau's Objections to Guthrie's Responsive Motion Exhibits", <u>Espiau Exhibit 1101, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 30, 2006), 5 pgs.</u>	
		NEIFELD, R. , "Espiau Motion 2, Espiau's Claims are not patentable to Guthrie", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (May 2, 2006), 49 pgs.</u>	
		NEIFELD, R. , "Espiau Motion 3 to Deny Guthrie Benefit of Provisionals", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (May 2, 2006), 42 pgs.</u>	
		NEIFELD, R. , "Espiau Motion 4 to Add Count 2", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (May 2, 2006), 83 pgs.</u>	
		PATEL, M. , "Declaration", <u>Guthrie Exhibit 2073, Board of Patent Appeals and Interferences (Interference No. 105,393), (March 14, 2006), 5 pgs.</u>	
		PISANO, N. A. , "Amendment and Request Under 35 U.S.C. Sec. 1.604 For Interference With Application", <u>Guthrie Exhibit 2001, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 30, 2004), 25 pgs.</u>	
		PISANO, N. A. , "Declaration", <u>Guthrie Exhibit 2072, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 21, 2006), 14 pgs.</u>	
		PISANO, N. A. , "Guthrie Contingent Responsive Motion 4", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (May 23, 2006), 57 pgs.</u>	
		PISANO, N. A. , "Guthrie Miscellaneous Motion 2", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (May 2, 2006), 64 pgs.</u>	
		PISANO, N. A. , "Guthrie Opposition to Espiau Motion 2", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (July 18, 2006), 84 pgs.</u>	
		PISANO, N. A. , "Guthrie Opposition to Espiau Motion 3", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (July 18, 2006), 70 pgs.</u>	
✓		PISANO, N. A. , "Guthrie Opposition to Espiau Motion 4", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (July 18, 2006), 92 pgs.</u>	

EXAMINER

David u

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. * Applicant's unique citation designation number (optional) * Applicant to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known

Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 11 of 16

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		PISANO, N. A., "Guthrie Preliminary Motion 1", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (May 2, 2006), 27 pgs.</u>	
		PISANO, N. A., "Guthrie Preliminary Motion 3", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (May 2, 2006), 18 pgs.</u>	
		PISANO, N. A., "Guthrie Reply 1", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (September 5, 2006), 52 pgs.</u>	
		PISANO, N. A., "Guthrie Reply 2", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (September 5, 2006), 47 pgs.</u>	
		PISANO, N. A., "Guthrie Reply 3", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (September 5, 2006), 45 pgs.</u>	
		PISANO, N. A., "Guthrie Reply 4", <u>Board of Patent Appeals and Interferences (Interference No. 105,393), (September 5, 2006), 93 pgs.</u>	
		PISANO, N. A., "Guthrie's Objections to Espiau's Opposition Exhibits", <u>Guthrie Exhibit 2129, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 25, 2006), 12 pgs.</u>	
		PISANO, N. A., "Guthrie's Objections to Espiau's Preliminary Motion Exhibits", <u>Guthrie Exhibit 2127, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 9, 2006), 10 pgs.</u>	
		PISANO, N. A., "Guthrie's Objections to Espiau's Reply Exhibits", <u>Guthrie Exhibit 2130, Board of Patent Appeals and Patent Interferences (Interference No. 105,393), (September 12, 2006), 11 pgs.</u>	
		PISANO, N. A., "Guthrie's Objections to Espiau's Supplemental Preliminary Motion Exhibits", <u>Guthrie Exhibit 2128, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 31, 2006), 7 pgs.</u>	
		PISANO, N. A., "Guthrie's Objections to Exhibits Introduced in Espiau's Motion to Exclude", <u>Guthrie Exhibit 2134, Board of Patent Appeals and Interferences (Interference No. 105,393), (October 23, 2006), 4 pgs.</u>	
		PISANO, N. A., "Second Declaration", <u>Guthrie Exhibit 2076, Board of Patent Appeals and Interferences (Interference No. 105,393), (March 14, 2006), 3 pgs.</u>	
		PISANO, N. A., et al., "Transcript of March 21, 2006 Telephone Conference", <u>Espiau Exhibit 1069, Board of Patent Appeals and Interferences (Interference No. 105,393), (March 21, 2006), 117 pgs.</u>	
		PISANO, N. A., et al., "Transcript of Telephonic Hearing before Administrative Patent Judge Sally C. Medley", <u>Guthrie Exhibit 2123, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 24, 2006), 33 pgs.</u>	
		POBANZ, C. J., "Declaration", <u>Espiau Exhibit 1030, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 27, 2006), 7 pgs.</u>	
		POBANZ, C. W., "MasterCard Statement", <u>Espiau Exhibit 1052, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 7, 2000), 3 pgs.</u>	
		POBANZ, C. W., "MasterCard Statement", <u>Espiau Exhibit 1053, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 8, 2000), 2 pgs.</u>	

EXAMINER

David vu

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language translation is attached

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it carries a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 12 of 16

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
2		POBANZ, C. W., "Second Declaration", <u>Espiau Exhibit 1054, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 20, 2006), 3 pgs.</u>	
↑		POZAR, D. M., <LETAL*> "Curriculum Vitae", <u>Exhibit 1035, Board of Patent Appeals and Interferences (Interference No. 105,393), 3 pgs.</u>	
		POZAR, D. M., "Declaration", <u>Espiau Exhibit 1056, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 29, 2006), 14 pgs.</u>	
		POZAR, D. M., "Deposition Transcript", <u>Espiau Exhibit 1063, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 19, 2006), 67 pgs.</u>	
		POZAR, D. M., "Errata to the Transcript of the June 19, 2006 Deposition of David M. Pozar", <u>Espiau Exhibit 1064, Board of Patent Appeals and Interferences (Interference No. 105,393), (7/6/2006), 3 pgs.</u>	
		POZAR, D. M., "Fourth Declaration of David M. Pozar", <u>Espiau Exhibit 1085, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 31, 2006), 14 pgs.</u>	
		POZAR, D. M., "Second Declaration", <u>Espiau Exhibit 1057, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 21, 2006), 4 pgs.</u>	
		POZAR, D. M., "Section 4.7 Excitation of Waveguides - Electric and Magnetic Currents", In: Microwave Engineering, 3rd Edition, 2005 (John Wiley & Sons, Inc.), <u>Espiau Exhibit 1077, Board of Patent Appeals and Interferences (Interference No. 105,393), (2005), 8 pgs.</u>	
		POZAR, D. M., "Section 5.8 Tapered Lines", In: Microwave Engineering, 3rd Edition, 2005 (John Wiley & Sons, Inc.), <u>Espiau Exhibit 1036, Board of Patent Appeals and Interferences (Interference No. 105,393), (2005), 9 pgs.</u>	
		POZAR, D. M., "Section 6.4 Circular Waveguide Cavities", in: Microwave Engineering, 3rd Edition, 2005 (John Wiley & Sons, Inc.), <u>Espiau Exhibit 1076, Board of Patent Appeals and Interferences (Interference No. 105,393), (2005), 8 pgs.</u>	
		POZAR, D. M., "Third Declaration", <u>Espiau Exhibit 1078, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 13, 2006), 9 pgs.</u>	
		PRIOR, G. A., <u>Patent Disclosure Summary (undated), 2 pgs.</u>	
		PRIOR, G. A., et al., <u>Patent Disclosure Summary, (8/10/2000), 3 pages</u>	
		PRIOR, G., et al., "QUARTZ BULB ENCLOSED IN A WAVE-GUIDE", <u>U.S. Provisional Application No. 60/234,415, filed September 21, 2000 (Espiau Exhibit 1006, Board of Patent Appeals and Interferences (Interference No. 105,393))</u>	
↓		PRIOR, G., et al., "WAVE-GUIDE USED FOR THE EXCITATION OF AN ELECTRODE-LESS METAL HALIDE PLASMA LAMP INCORPORATING A SOLD DIELECTRIC MATERIAL", <u>U.S. Provisional Patent Application Ser. No. 60/224,059, filed August 9, 2000 (Guthrie Exhibit 2049, Board of Patent Appeals and Interferences (Interference No. 105,393))</u>	

EXAMINER

David un

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional): Applicant is to place a check mark here if English language Translation is attached

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)	Complete if Known	
	Application Number	10/771,788
	Filing Date	February 4, 2004
	First Named Inventor	Espiau, Frederick
	Group Art Unit	2821
	Examiner Name	Unknown
Sheet 13 of 16		Attorney Docket No: 2447.001US2

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-Issue number(s), publisher, city and/or country where published.	T ²
2		PRIOR, G. , et al., "WAVE-GUIDE USED FOR THE EXCITATION OF AN ELECTRODE-LESS METAL HALIDE PLASMA LAMP INCORPORATING A SOLID DIELECTRIC MATERIAL", U.S. Provisional Application Ser. No. 60/224,298, filed August 10, 2000 (Guthrie Exhibit 2054, Board of Patent Appeals and Interferences (Interference No. 105,393)).	
↑		SANDBERG, E. , et al., "A MECHANICAL MEANS OF SEALING THE WINDOW TO AN ELECTRODE-LESS METAL HALIDE BULB THAT IS INTEGRATED INTO A WAVEGUIDE", US Provisional Application Ser. No. 60/262,536, filed January 17, 2001 (Guthrie Exhibit 2094, Board of Patent Appeals and Interferences (Interference No. 105,393)), 6 pgs.	
		SANDBERG, E. , "AN IMPROVED DRIVE CIRCUIT FOR AN ELECTRODE-LESS PLASMA LAMP THAT IS EMBEDDED IN A WAVEGUIDE", US Provisional Patent Application Ser. No. 60/241,198, filed October 17, 2000 (Guthrie Exhibit 2093, Board of Patent Appeals and Interferences (Interference No. 105,393)), 7 pgs.	
		SANDBERG, E. , "Declaration", Guthrie Exhibit 2035, Board of Patent Appeals and Interferences (Interference No. 105,393), (December 12, 2005), 3 pgs.	
		SANDBERG, E. , "Declaration of Edmund Sandberg", Guthrie Exhibit 2010, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 20, 2006), 14 pgs.	
		SANDBERG, E. , et al., "HIGH EFFICIENCY PRISM ASSEMBLY FOR IMAGE PROJECTION", US Provisional Patent Application Ser. No. 60/192,258, filed March 27, 2000 (Espiau Exhibit 1094, Board of Patent Appeals and Interferences (Interference No. 1094)), 21 pgs.	
		SANDBERG, E. , "LIGHT SOURCE FOR USE IN MICRODISPLAY BASED LIGHT ENGINES", U.S. Provisional Application No. 60/192,731, filed March 27, 2000 (Guthrie Exhibit 2045, Board of Patent Appeals and Interferences (Interference No. 105,393)).	
		SHATZ, N. , et al., "Optimal Design of Nonimaging Projector Lens for Use With an RF-Powered Source and a Rectangular Target", <u>Proceedings of SPIE</u> , Vol. 4446, Espiau Exhibit 1080, Board of Patent Appeals and Interferences (Interference No. 105,393), (2002), 14 pgs.	
		SIMON, N. , "Declaration", Espiau Exhibit 1055, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 18, 2006), 4 pgs.	
		SMOLER, D. E., "Declaration", Guthrie Exhibit 2074, Board of Patent Appeals and Interferences (Interference No. 105,393), (March 13, 2006), 6 pgs.	
		STALLMAN, M. , "Declaration", Guthrie Exhibit 2012, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 21, 2006), 4 pgs.	
2		THOMAS, T. , "Guthrie Declaration of Tony Thomas", Guthrie Exhibit 2008, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 19, 2006), 4 pgs.	

EXAMINER

David Jn

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional) ? Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO
**INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**
 (Use as many sheets as necessary)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A(10-01)
 Approved for use through 10/31/2002. OMB 051-0031
 U.S. Patent & Trademark Office, U.S. DEPARTMENT OF COMMERCE

Complete if Known	
Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 14 of 16

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
D		TURNER, B. P., "Curriculum Vitae of Brian P. Turner, Ph.D.", <u>Espiau Exhibit 1065, Board of Patent Appeals and Interferences (Interference No. 105,393), 4 pgs.</u>	
		TURNER, B. P., "Declaration", <u>Espiau Exhibit 1066, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 12, 2006), 4 pgs.</u>	
		TURNER, D., "Declaration", <u>Espiau Exhibit 1034, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 27, 2006), 5 pgs.</u>	
		TURNER, B. P., "Deposition Transcript of Brian P. Turner, Ph.D.", <u>Espiau Exhibit 1099, Board of Patent Appeals and Interferences (Interference No. 105,393), (October 6, 2006), 85 pgs.</u>	
		TURNER, D. B., "Deposition Transcript of David B. Turner", <u>Espiau Exhibit 1067, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 6, 2006), 56 pgs.</u>	
		TURNER, D., "E-Mail Message to Chan Joshi, et al.", <u>Guthrie Exhibit 2065, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 15, 2000), 1 pg.</u>	
		TURNER, D., "E-Mail Message to Chan Joshi, et al., with attached PowerPoint Presentation", <u>Guthrie Exhibit 2069, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 18, 2000), 32 pgs.</u>	
		TURNER, D., "E-Mail Message to Charles Guthrie", <u>Guthrie Exhibit 2068, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 17, 2000), 1 pg.</u>	
		TURNER, D., "E-Mail Message to Charlie Guthrie", <u>Guthrie Exhibit 2066, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 15, 2000), 1 pg.</u>	
		TURNER, D., "E-Mail Message to Greg Prior", <u>Guthrie Exhibit 2059, Board of Patent Appeals and Interferences (Interference No. 105,393), (April 16, 2000), 1 pg.</u>	
		TURNER, B. P., "Second Declaration of Brian P. Turner", <u>Espiau Exhibit 1091, Board of Patent Appeals and Interferences (Interference No. 105,393), (September 19, 2006), 2 pgs.</u>	
		VU, D. H., "Notice of Allowability for 'PLASMA LAMP WITH DIELECTRIC WAVEGUIDE', U.S. Patent Application Ser. No. 09/809,718, filed March 15, 2001", <u>Espiau Exhibit 1047, Board of Patent Appeals and Interferences (Interference No. 105,393), (December 12, 2003), 3 pgs.</u>	
✓ D		VU, D. H., "Office Action re: PLASMA LAMP WITH DIELECTRIC WAVEGUIDE, U.S. Application Ser. No. 09/809,718, filed March 15, 2001", <u>Guthrie Exhibit 2087, Board of Patent Appeals and Interferences (Interference No. 105,393), (November 6, 2002), 18 pgs.</u>	

EXAMINER

David vu

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 806. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>	Complete if Known	
	Application Number	10/771,788
	Filing Date	February 4, 2004
	First Named Inventor	Espiau, Frederick
	Group Art Unit	2821
	Examiner Name	Unknown
Sheet 15 of 16	Attorney Docket No: 2447.001US2	

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
2		VU, D. H., "Office Communication for U.S. Application Ser. No. 09/0809718, filed July 18, 2003", Guthrie Exhibit 2096, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 18, 2006), 2 pgs.	
↑		WESTBERG, D. J., "Response to Office Action Mailed June 17, 2002 (in IMPROVED HIGH INTENSITY LIGHT SOURCE, U.S. Patent Application Ser. No. 09/818,092, filed March 26, 2001)", Espiau Exhibit 1043, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 5, 2003), 27 pgs.	
		WHARMBY, D. O., "Chapter 11 - Electrodeless Lamps", In: Lamps & Lighting, 4th Edition, 1997 (Arnold & John Wiley & Sons, Inc.), Espiau Exhibit 1039, Patent Appeals and Interferences (Interference No. 105,393), (1997), 13 pgs.	
		WHARMBY, D. O., "Corrected Third Declaration of David O. Wharmby", Espiau Exhibit 1083, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 3, 2006), 28 pgs.	
		WHARMBY, D. O., "Curriculum Vitae", Espiau Exhibit 1038, Board of Patent Appeals and Interferences (Interference No. 105,393), (November, 2005), 7 pgs.	
		WHARMBY, D. O., "Declaration", Espiau Exhibit 1040, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 2, 2006), 20 pgs.	
		WHARMBY, D. O., "Deposition Transcript", Espiau Exhibit 1061, Board of Patent Appeals and Interferences (Interference No. 105,393), (June 15, 2006), 57 pgs.	
		WHARMBY, D. O., "Electrodeless Lamps for Lighting: A Review", IEE Proceedings-A, Vol. 140(6), Guthrie Exhibit 2085, Board of Patent Appeals and Interferences (Interference No. 105,393), (November, 1993), 9 pgs.	
		WHARMBY, D. O., "Errata to the Transcript of the June 15, 2006 Deposition of David O Wharmby", Espiau Exhibit 1062, Board of Patent Appeals and Interferences (Interference No. 105,393), (July 7, 2006), 4 pgs.	
		WHARMBY, D. O., "Fourth Declaration of David O. Wharmby", Espiau Exhibit 1084, Board of Patent Appeals and Interferences (Interference No. 105,393), (August 31, 2006), 18 pgs.	
		WHARMBY, D. O., "Second Declaration", Espiau Exhibit 1058, Board of Patent Appeals and Interferences (Interference No. 105,393), (May 23, 2006), 5 pgs.	
		WILSON, D., "Declaration", Guthrie Exhibit 2034, Board of Patent Appeals and Interferences (Interference No. 105,393), (December 12, 2005), 3 pgs.	
		WILSON, D., et al., "ELECTRODE-LESS METAL HALIDE PLASMA LAMP WITH INTEGRATED ELECTRONICS", U.S. Provisional Patent Application No. 60/224,290, filed August 10, 2000 (Guthrie Exhibit 2052, Board of Patent Appeals and Interferences (Interference No. 105,393)),	
↓		WILSON, D., "Guthrie Declaration of Donald Wilson", Guthrie Exhibit 2039, Board of Patent Appeals and Interferences (Interference No. 105,393), (February 18, 2006), 10 pgs.	

EXAMINER	David vu	DATE CONSIDERED	3/6/07
----------	----------	-----------------	--------

Substitute Disclosure Statement Form (PTO-1449)
 * EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language translation is attached

Substitute for form 1449A/PTO
**INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**
 (Use as many sheets as necessary)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A(10-01)
 Approved for use through 10/31/2002, OMB 651-0001
 US Patent & Trademark Office, U.S. DEPARTMENT OF COMMERCE

<i>Complete if Known</i>	
Application Number	10/771,788
Filing Date	February 4, 2004
First Named Inventor	Espiau, Frederick
Group Art Unit	2821
Examiner Name	Unknown

Sheet 16 of 16

Attorney Docket No: 2447.001US2

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
W		WILSON, D. , et al., "HIGH TEMPERATURE, LOW COST WINDOW SEALING TECHNIQUE FOR PLASMA LAMPS", U.S. Provisional Application No. 60/224,291, filed August 10, 2000 (Guthrie Exhibit 2053, Board of Patent Appeals and Interferences (Interference No. 105,393)).	
↑		WILSON, D. , et al., "LIGHT SOURCE CONSISTING OF AN ELECTRODE-LESS METAL HALIDE PLASMA BULB THAT IS INTEGRATED INTO A WAVE-GUIDE", U.S. Provisional Patent Application Ser. No. 60/224,289, filed August 10, 2000 (Guthrie Exhibit 2051, Board of Patent Appeals and Interferences (Interference No. 105,393)).	
		WILSON, D. , et al., "MEANS TO REDUCE EMI IN A WAVE-GUIDE", US Provisional Patent Application Ser. No. 60/224,503, filed August 10, 2000 (Guthrie Exhibits 2029 and 2102, Board of Patent Appeals and Interferences (Interference No. 105,393)), 20 pgs.	
		WILSON, D. , et al., "R.F. WAVE-GUIDE INTO WHICH AN INSERT OF A HERMETRIC MATERIAL THAT HAS BEEN EITHER MOLDED OR PLASMA DEPOSITED", U.S. Provisional Patent Application Ser. No. 60/224,257, filed August 10, 2000 (Guthrie Exhibit 2050, Board of Patent Appeals and Interferences (Interference No. 105,393)).	
		WILSON, D. , et al., "USE OF A COATING TO PREVENT THE REDUCTION OF CERAMIC TO ELEMENTAL METAL IN THE BULB OF A WAVE-GUIDE LAMP", U.S. Provisional Application No. 60/224,866, filed August 11, 2000 (Guthrie Exhibit 2055, Board of Patent Appeals and Interferences (Interference No. 105,393)).	
		WILSON, D. , et al., "USE OF A HEAT SINK IN A PLASMA LIGHT SOURCE (LOCATED BETWEEN A WAVE GUIDE THAT INCORPORATES THE BULB AND THE DRIVE ELECTRONICS)", US Provisional Patent Application Ser. No. 60/224,961, filed August 11, 2000 (Guthrie Exhibit 2030, Board of Patent Appeals and Interferences (Interference No. 105,393)), 6 pgs.	
↓		WILSON, D. , et al., "USE OF A HEAT SINK IN A PLASMA LIGHT SOURCE (LOCATED EXTERNALLY AND SURROUNDING THE LAMP ASSEMBLY)", US Provisional Patent Application Ser. No. 60/224,617, filed August 11, 2000 (Guthrie Exhibits 2031 and 2103, Board of Patent Appeals and Interferences (Interference No. 105,393)), 20 pgs.	

EXAMINER

David W

DATE CONSIDERED

3/6/07

Substitute Disclosure Statement Form (PTO-1449)
 * EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. † Applicant's unique citation designation number (optional) ‡ Applicant is to place a check mark here if English language Translation is attached